

Section II: 2000/2001 RECAP OECA Performance Measures: Compliance Assistance Outputs and Outcomes

Compliance Assistance Output Measures: Federal compliance assistance activities will be tracked through the RCATS database. Data will be pulled from RCATS for a mid-year and end-of-year report. In FY2000/2001 there will be no longer any manual reporting of compliance assistance. Mid-year reports will be pulled by Headquarters on April 15th and EOY on November 1st. Output measures are listed below. In FY 2000/2001 compliance assistance measures will apply to all of the MOA National Priorities (CWA/Wet Weather, SDWA/Microbial Rules, CAA/NSR/PSD, Air Toxics, RCRA/Permit Evaders, Petroleum Refining, Metal Services) and to the sector strategies (Iron and Steel, Petroleum Refining, Primary Non-Ferrous metals, CAFOs and Coal-Fired Utilities) where assistance activity is occurring. In addition, RCATS track region specific priority areas. Further, in FY2000/2001 RCATS will track Innovation Task Force/OECA Action Plan Activities, in particular work on Economically Significant Rule Compliance Guides as well as SBREFA Compliance Guides and assistance work.

Measures (sorted by sector and by media priority)

Measure Code	Measure	New Reporting	Database	Reason for Measure
CA1	a. # and type of entities reached through: a. telephone calls/e-mails a. hotlines b. workshops, trainings, or presentations at meetings c. compliance assistance tools developed in house d. outreach materials mailed/distributed e. on-site visits ¹ f. other activities b. % of entities reached that are: i) assistance providers ii) potentially regulated entities iii) other	None	RCATS	NPMS Set 10/GPRA Annual Performance Goals and Measures (APGM) #257/258
CA2	a. # of activities conducted that are: a. workshops/presentations at meetings/trainings b. tools developed in-house c. on-site visits ¹ b. number activities that were conducted in partnership with State or local assistance programs.	None	RCATS/Semi-annual	NPMS Set 10/GPRA Annual Performance Goals and Measures (APGM) #257/258

Compliance Assistance Outcome Measures: Pursuant to the May 17th, 1999 Steve Herman Memo, each Region is to conduct one outcome measurement activity for a regional compliance assistance project using the compliance assistance outcome measures listed

¹On-site compliance assistance visits that are being conducted under the RCRA program can be entered into RCRIS or RCRA Info.

below. Reporting on the results of these measures are due to OECA by the end of 3rd Quarter FY 2000. Data can be reported manually or through RCATs. Reporting should include: 1) a brief description of the activity; 2) the goal of the activity; 3) the measures selected from the categories of measures below to evaluate the goal; 4) the type of follow-up method undertaken (e.g. survey, focus group, on-site revisit); 5) the response rate and 6) the actual response data organized by the categories of measures listed below. Regions are encouraged to work with the Office of Compliance if they are developing surveys. OC will develop their survey in Corporate Pulse so that we can input the data into a report generating database. Please contact Lynn Vendinello at 202-564-7066 or Tracie Bynum at 202-564-7086 for more information.

In addition to the one project that is required per region, regions are encouraged to conduct additional outcome measurement projects. To assist in your outcome measurement work, OC has produced a [Guide for Measuring Compliance Assistance Outcomes](#) that is available in hard copy by calling 202-564-7066 or via the Internet at www.epa.gov/oeca/perfmeas/. In addition OC periodically conducts full-day outcome measurement training. In FY2000, OC will be conducting training in Regions 9, 2 and two additional regions. If you are interested in receiving outcome measurement training, please call 202-564-7066. All compliance assistance surveys conducted in FY 2000 and 2001 can receive an expedited 30-day clearance under ICR 1860.01. In FY 2000 we also hope to have a generic clearance for a pre-approved pick-list of questions with an even more expedited clearance. For more info on the pick-list ICR, please call Tracy Back at 202-564-7076.

Compliance Assistance Outcome Measures

Measure Code	Measure	New Reporting	Database	Reason for Measure
Awareness/Understanding of Compliance Assistance Opportunities and Regulatory Requirements:				
CAO1	% of those assisted who improve their understanding of regulatory requirements as a result of the compliance assistance offered.	In FY 2000 only required for 10 regional pilots	Manual or RCATs	Annual Performance Goals and Measures # 256/NPMS Set 3
Behavioral Change Indicator Categories: Regulatory				

Measure Code	Measure	New Reporting	Database	Reason for Measure
CAO2	% of those assisted who adopt regulatory requirements (includes obtaining necessary notifications or permits, labelling, manifesting, reporting, recordkeeping changes, etc...)	In FY 2000 only required for 10 regional pilots	Manual or RCATs	Annual Performance Goals and Measures # 256/NPMS Set 3
CAO3	Change in level of compliance (multi-media, subset, compliance indicators)	In FY 2000 only required for 10 regional pilots	Manual or RCATs	Annual Performance Goals and Measures # 256/NPMS Set 3
Behavioral Change: Non-Regulatory				
CAO4	% of those assisted who adopt: a) industrial process changes; b) environmental management systems; c) best management practices	In FY 2000 only required for 10 regional pilots	Manual or RCATs	Annual Performance Goals and Measures # 256/NPMS Set 3
CAO5	% of those assisted who undertake self-audits	In FY 2000 only required for 10 regional pilots	Manual or RCATs	Annual Performance Goals and Measures # 256/NPMS Set 3
CAO6	% of those assisted who adopt recommendations made during assistance and % of recommendations adopted.	In FY 2000 only required for 10 regional pilots	Manual or RCATs	Annual Performance Goals and Measures # 256/NPMS Set 3
CAO7	% of facilities assisted that change regulatory status (e.g. reduce waste to go from LQG to SQG)	In FY 2000 only required for 10 regional pilots	Manual or RCATs	Annual Performance Goals and Measures # 256/NPMS Set 3
Environmental and Human Health Improvements:				
CAO8	% of facilities assisted that reduce emissions or other pollutants	In FY 2000 only required for 10 regional pilots	Manual or RCATs	Annual Performance Goals and Measures # 256/NPMS Set 3

Measure Code	Measure	New Reporting	Database	Reason for Measure
CAO9	% of facilities assisted that make human health/worker protection improvements	In FY 2000 only required for 10 regional pilots	Manual or RCATs	Annual Performance Goals and Measures # 256/NPMS Set 3
CAO10	amount of emissions reduced, waste diverted from traditional disposal, pollutants reduced and/or risk reduced	In FY 2000 only required for 10 regional pilots	Manual or RCATs	Annual Performance Goals and Measures # 256/NPMS Set 3